

10/19/01

J1044 U.S. PTO

UTILITY  
PATENT APPLICATION  
TRANSMITTALOnly for new nonprovisional applications  
under  
37 CFR 1.53(b))

Attorney Docket No.

P01-3685

First Inventor

Stephen J. Sicola et al.

Title

METHOD AND APPARATUS FOR  
CONTROLLING COMMUNICATIONS  
IN DATA STORAGE COMPLEXES

Express Mail Label No.

EL910769662US

## APPLICATION ELEMENTS

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form  
(submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification [ total pages 61 ]  
(preferred Arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) [ total sheets 14 ]
5. ☒ Oath or Declaration [ total sheets 2 ]
- a. ☒ Newly Unexecuted (original or copy)
- b. ☐ Copy from prior appl. (37 C.F.R. § 1.63(d))
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. (See 37 CFR 1.76)
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies
9. ☐ Assignment Papers (coversheet/document(s))
10. ☐ 37 CFR. 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document
12. ☒ IDS & Form 1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
15. ☐ Certified Copy of Priority Document(s)
16. ☐ Request & Certification under 35 USC 122(b)(2)(B)(i)
17. ☒ Other: Certificate of Mailing by Express Mail

## ACCOMPANYING APPLICATION PARTS

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:    /   Prior application information: Examiner:    Group/Art Unit:   

FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **25235** or ☐ Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

Fax

Name  
(Print/Type)

William J. Kubida

Registration No.

29,664

(Signature)

Date

19 October 2001

Jc973 U.S. PTO  
655980/01  
10/19/01

# FEE TRANSMITTAL for FY 2001

Complete if Known

**TOTAL AMOUNT OF PAYMENT (\$)** **(\$ 740.00)**

Application Number

Filing Date

First Named Inventor

Examiner Name

Group / Art Unit

Attorney Docket No.

Herewith

Stephen J. Sicola et al.

P01-3685

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

50-1123

Deposit  
Account  
Name

Hogan & Hartson L.L.P.

- ☒ Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
740	370	Utility Filing Fee	740.00
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

**SUBTOTAL (1) (\$ 740.00)**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
16	-20**= 0	X	= 0
Independent Claims	2	-3**= 0	X
Multiple Dependent			= 0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$).00**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for ex parte reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
310	155	Notice of Appeal	
310	155	Filing a brief in support of an appeal	
270	135	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,240	620	Petition to revive - unintentional	
1,240	620	Utility issue fee (or reissue)	
440	220	Design issue fee	
600	300	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
710	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
710	355	For each additional invention to be examined (37 CFR § 1.129(b))	
710	355	Request for Continued Examination	
900	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid **SUBTOTAL (3)**

(\$)

## SUBMITTED BY

Name **William J. Kubida**  
(Print/Type)  
Signature

Registration No.  
(Attorney/Agent)

29,664

## Complete (if applicable)

Telephone

(719) 448-5900

Date

19 Oct 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stephen J. Sicola, Bruce Sardeson, Dennis Spicher, Bruce  
Roberts, and Bill Pagano

Serial No. \_\_\_\_\_

Filed: Herewith

For: METHOD AND APPARATUS FOR CONTROLLING  
COMMUNICATIONS IN DATA STORAGE COMPLEXES

Group Art Unit: \_\_\_\_\_

Examiner: \_\_\_\_\_

CERTIFICATE OF MAILING BY EXPRESS MAIL

BOX PATENT APPLICATION

Assistant Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:


1. Utility Patent Application Transmittal;
2. Fee Transmittal and \$ 740 filing fee;
3. Utility Patent Application;
4. Unexecuted Declaration;
5. 14 sheets of drawings;
6. Information Disclosure Statement, Form PTO-1449,  
photocopies of 5 references;
7. Return postcard; and
8. Certificate of Mailing By Express Mail

relating to the above application, were deposited as "Express Mail", Mailing Label No. EL910769662US  
with the United States Postal Service, addressed to The Commissioner of Patents and Trademarks,  
Washington, D.C., 20231, 19 October 2001.

19 October 2001  
Date

19 October 2001  
Date

Mailbox

  
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